

SPECIAL PROCEDURES SUBMISSION

ATTORNEY DOCKET NO.: 2002834-0115

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Caplan, et al.

Examiner: Weddington, K.

Serial No.: 09/976,963

Art Unit: 1614

Filing Date: September 23, 2003

Title: CONDUCTANCE OF IMPROPERLY FOLDED PROTEINS THROUGH
THE SECRETORY PATHWAY AND RELATED METHODS FOR
TREATING DISEASECommissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Certificate of Facsimile Transmission

I certify that this paper is being facsimile transmitted to the Commission
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4-5-04

Date

Signature

Sandra Saccoccia

Typed or Printed Name of person signing certificate

Sir:

STATEMENT

Pursuant to the duty of disclosure under 37 C.F.R. §§1.56, 1.97 and 1.98, Applicant
requests consideration of this Information Disclosure Statement.

Type of Statement

The present Information Disclosure Statement is:

☒ An *original* Information Disclosure Statement; or☐ A *supplemental* Information Disclosure Statement.Compliance with 37 CFR § 1.97

The present Information Disclosure Statement is being filed:

☐ Pursuant to 37 CFR § 1.97(b); no fee or certification is required:☐ Within three months of the filing date of a national application other than

a continued prosecution application under § 1.53(d);

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- ☐ Within three months of the date of entry of the national stage as set forth in § 1.491 in an international application;
- ☐ Before the mailing of a first Office action on the merits; or
- ☒ Before the mailing of a first Office action after the filing of a request for continued examination under § 1.114.
- ☐ Pursuant to 37 CFR § 1.97(c) after the dates listed above but before the mailing date of any of a final action under § 1.113, a notice of allowance under § 1.311, or an action that otherwise closes prosecution in the application; Applicant hereby *either*:
 - ☐ Certifies that *either*:
 - ☐ each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement; or
 - ☐ That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of the information disclosure statement.; or
 - ☐ Includes herewith the fee set forth in § 1.17(p).

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☐ Pursuant to 37 CFR § 1.97(d), after the mailing date of any final action under § 1.113, a notice of allowance under § 1.311, or an action that otherwise closes prosecution in the application; Applicant hereby *both*:

☐ Certifies that *either*:

☐ each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement; or

☐ That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of the information disclosure statement.; and

☐ Includes herewith the fee set forth in § 1.17(p).

Content of the Information Disclosure Statement

Applicant hereby makes of record in the above-identified application the reference(s) listed on the attached form PTO-1449 (modified). The order of presentation of the references should not be construed as an indication of the importance of the references.

Applicant includes copies of references as indicated below:

☐ A copy of each cited reference not indicated with an asterisk is included;

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- ☐ Copies of references indicated with an asterisk on the attached form PTO-1449 are not included pursuant to 37 CFR § 1.98(d) because they were previously provided to the United States Patent Office in an Information Disclosure Statement that complies with 37 CFR § 1.98(a)-(c) and was submitted in the following patent application that is relied upon in the present case for an earlier effective filing date under 35 USC § 120;

Serial Number	Filing Date	Status

- ☐ Copies of English translations of one or more non-English references are included.
- ☒ The present Information Disclosure Statement is being filed as a submission accompanying a Request for Continued Examination. The Request for Continued Examination, the PTO-1449, and the present Statement are being submitted by facsimile. Copies of the references will follow shortly by mail, along with a copy of the present Statement and PTO-1449.

Applicant hereby makes the following additional information of record in the above-identified application:

Applicant certifies that the Information Disclosure Statement *either*:

- ☐ Does not contain non-English language citations;
- ☐ Does contain non-English language citations, of which the following is a concise explanation:
- ☐ Includes one or more translations of a non-English citation.

Remarks

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The submission of this Information Disclosure Statement should not be construed as a representation that a search has been made.

The submission of this Information Disclosure Statement shall not be construed to be an admission that the information cited in the statement is, or is considered to be, material to patentability as defined in § 1.56(b).

The submission of this Information Disclosure Statement shall not be construed as a representation that the information cited in the Statement is, or is considered to be, in fact, prior art as defined by 35 U.S.C. §102.

It is respectfully requested that:

1. The Examiner consider completely the cited information, along with any other information, in reaching a determination concerning the patentability of the present claims;
2. The enclosed form PTO-1449 be signed by the Examiner to evidence that the cited patent(s) and publication(s) has (have) been fully considered by the Patent and Trademark Office during the examination of this application; and
3. The citations for the patent(s) and publication(s) be printed on any patent which issues from this application.

Notwithstanding any statements by Applicants, the Examiner is urged to form his or her own conclusions regarding the relevance of the cited reference(s).

Respectfully submitted,



Monica R. Gerber

Registration No. 46,724

Dated: April 5, 2004

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